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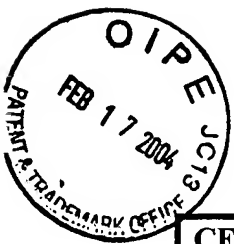
TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/652,008
	Filing Date	August 28, 2003
	First Named Inventor	Kevin M. Tresenriter
	Art Unit	3624
	Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission	Attorney Docket Number	412327

ENCLOSURES (check all that apply)				
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Form PTO 1449 Certificate of Mailing Return Post Card		
<table border="1"><tr><td>Remarks</td><td></td></tr></table>			Remarks	
Remarks				
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT				
Firm or Individual name	James M. Stipek			
Signature				
Date	February 17, 2004			

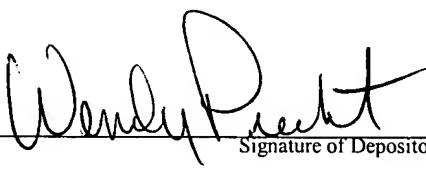
CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being transmitted to the USPTO by depositing with the United States Postal Service with sufficient postage as express mail (Label No.: EL927874205US) in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	Wendy Precht		
Signature		Date	February 17, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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2/18/04

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)			Matter No.
Applicant(s): Kevin M. Tresenriter			412327
Serial No.	Filing Date	Examiner	Group Art Unit
10/652,008	August 28, 2003	Not Yet Assigned	3624
Invention: System and Method for Making Trades			
<p>I hereby certify that this Transmittal Form (1 page); Information Disclosure Statement (2 pages); Form PTO 1449 (2 pages); authorization to charge additional fees that may be required, or credit any overpayment, to Deposit Account No. 12-0600; and return post card are being mailed in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 17th day of February, 2004.</p>			
<p>Wendy Precht Name of Depositor</p>			
<p> Signature of Depositor</p>			
<p>EL927874205US Express Mail Label No.</p>			



PATENT
Attorney Docket No. 412327
Express Mail Label No. EL 927874205 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) Kevin M. Tresenriter
Serial No. 10/652,008
Filed August 28, 2003
For System and Method for Making Trades

Examiner Not Yet Assigned
Group Art No. 3624

February 17, 2004

Commissioner For Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or
(Within three months of filing national application, or date of entry of national application, or before mailing date of first office action on the merits, whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☐ a \$180 fee under 37 CFR 1.17(p), or
(After the CFR 1.97(b) time period, but before final action or notice of allowance, which ever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
☐ Statement under 37 CFR 1.97(e)(1) or (2), and
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).
(Filed after final action, a notice of allowance, on or before payment of issue fee)

☐ Applicant(s) submit herewith Form PTO 1449 – Information Disclosure Citation together with copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of the application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☒ This Application was filed after June 30, 2003. Therefore, Applicant(s) submit(s) herewith Form PTO 1449 – Information Disclosure Citation without copies of U.S. patents or U.S. publications, but includes copies of foreign patents, publications or other information of which Applicant(s) is/are aware, which applicant(s) believe(s) may be material to the examination of the application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

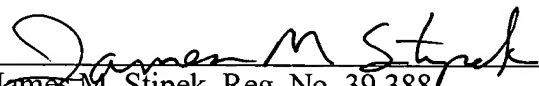
☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449,

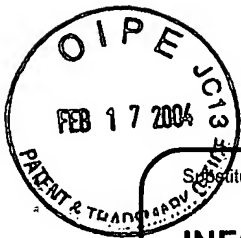
as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counter part foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith

It is requested that the information disclosed herein be made of record in this application

Respectfully submitted,

LATHROP & GAGE LLC


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2345 Grand Boulevard, Suite 2300
Kansas City, Missouri 64108
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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 1

Complete if Known

Application Number	10/652,008
Filing Date	August 28, 2003
First Named Inventor	Kevin M. Tresenriter
Art Unit	3624
Examiner Name	Not Yet Assigned
Attorney Docket Number	412327

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Document Number	Issue/Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US-6,370,516	04-09-2002	Reese	
		US- 6,338,047	01-08-2002	Wallman	
		US- 6,317,728	11-13-2001	Kane	
		US- 6,317,726	11-13-2001	O'Shaughnessy	
		US- 5,946,666	08-31-1999	Nevo et al.	
		US- 5,873,071	02-16-1999	Ferstenberg et al.	
		US- 2002/0038276	03-28-2002	Buhannic et al.	
		US- 2002/0026404	02-28-2002	Thompson	
		US- 2002/0023041	02-21-2002	Brett	
		US- 2001/0049649	12-06-2001	Baecker et al.	
		US- 2001/0034688	10-25-2001	Annunziata	
		US- 2001/0032163	10-18-2001	Fertik et al.	
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FOREIGN PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				

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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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